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ABSTRACT

A plan of action by which library service and development in New York State can respond to rapid and dynamic changes in society is outlined. The program is based on the principles that any state resident has a right to convenient access to local libraries to meet his needs, that statewide library networks constitute the most efficient means to provide quality user service, and that an integrated library network should be developed. The proposed action plan relates to specific users and programs including children and young people, higher education and the research community, residents of health, welfare and correctional institutions, and young adults and adults. The role of the state is examined and priorities for funding are established. Six appendices include a network schematic; descriptions of school, state institution and public library needs and the Reference and Research Library (3R's) program, and legislative finance formulas. (AB)

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TO ERIC AND ORGANIZATIONS OPERATING UNDER AGREEMENTS WITH THE U.S. OFFICE OF EDUCATION. FURTHER REPRODUCTION OUTSIDE THE ERIC SYSTEM REQUIRES PERMISSION OF THE COPYRIGHT OWNER."

A Position Paper . . .

. . . No. 8 of a series

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LIBRARY SERVICE

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A Statement of Policy
and Proposed Action
by the
REGENTS OF THE
UNIVERSITY OF THE
STATE OF NEW YORK

THE STATE EDUCATION DEPARTMENT
ALBANY
OCTOBER 1970

THE UNIVERSITY OF THE STATE OF NEW YORK

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FOREWORD

During the past 25 years it has been the practice of the Commissioner of Education to involve library leadership throughout the State in planning for statewide library development. It has proved salutary to invite library trustees, educators, and practicing librarians to work with appropriate department personnel in assessing programs and in charting new courses. In 1967, the Commissioner of Education appointed the Committee on Library Development. It was the first to be comprised of representatives of all types of libraries, so that planning might proceed in the light of user needs and library service might develop on a cooperative basis.

The year 1967 is noteworthy from another point of view. The Division of Research and Evaluation of the State Education Department had released *Emerging Library Systems,* a 3-year evaluation of the public library systems, which publication included a number of significant recommendations. One of the most far-reaching is the suggestion that there be much greater cooperation among the several types of libraries, including the New York State Library.

The Commissioner charged the committee with a review of the conclusions in the report, with an assessment of progress to date of the reference and research library resources program, and with making recommendations for next steps in library development. The committee held 30 sessions over a period of 3 years, held discussions with the field at hearings in Albany in 1969, and generated several hundred documents and communications. The report of the Commissioner's committee constitutes a substantial contribution to current library development and has been used extensively in the preparation of this paper on library development in New York State.

This paper is the eighth in a series of position papers which the Regents have released. It constitutes an assessment of library development to date and outlines that kind of progressive program for the future necessary to support the State's educational program. This program will provide opportunities for the intellectual advance of all the people.

The 1971 legislative program of the Regents includes requests to implement the recommendations in this paper. We urge favorable consideration of these recommendations by the public at large, the Governor, and the Legislature.

Ewald B. Nyquist

EWALD B. NYQUIST
President of the University and
Commissioner of Education

CONTENTS

	PAGE
FOREWORD	3
INTRODUCTION	7
PRINCIPLES FOR PLANNING	7
PROGRAM FOR ACTION	8
Library Service for Children and Young People	8
Library Service for Higher Education and the Research Community	11
Library Service for Residents of Health, Welfare, and Correctional Institutions	13
Library Service for Young Adults and Adults	14
Role of the State	15
FINANCE	17
CONCLUSION	22
APPENDIX	
A Reference and Interlibrary Loan Network (For Information Retrieval and Transfer)	23
B School Libraries	24
C The Reference and Research Library Resources Program	26
D State Institution Libraries	28
E Public Libraries	29
F Recommended Legislative Finance Formulas	31

INTRODUCTION

Libraries are an integral part of the educational program of the State. Libraries support all phases of formal and informal education and can enrich each person's life as well as the life of our communities. The growing demand for information in every form of human endeavor to support all phases of formal education requires imaginative library programs which will provide books as well as all kinds of nonprint materials and which will more effectively organize, store, and provide ready access to knowledge.

Rapid and dynamic changes in society necessitate revisions in library development. The major changes are: the trend toward urbanization and the attendant problem of concentrations of disadvantaged persons living in cities with special educational and library needs; greater emphasis on independent study, continuing education, and research; the growing importance placed on media and information services by business, industry, and government; and the increase in average educational attainment which leads to a better-informed citizenry.

New York State is committed to excellence in library service. Past actions such as the establishment of the first public library system 20 years ago and the more recent development of the Reference and Research Library Resources (3R's) program, including the organization of the reference and research library systems, are examples of this commitment. These systems need increased support and development. New attention must be directed to the improvement of school library service and the undeveloped area of service to residents of health, welfare, and correctional institutions. Through these programs, library resources and services will be more effectively marshaled to produce book and informations services that can never be achieved by unaffiliated or independent libraries.

The guidelines outlined in this paper require careful planning and development, close coordination of all types of libraries, changes in financial and legal structure, and, in some instances, changes in traditional roles. The Regents believe that the program outlined in this paper will enable libraries to meet the needs of their users in the last part of this 20th century.

PRINCIPLES FOR PLANNING

The program outlined in this paper is based on the following principles: *Any State resident, regardless of age, has a right to convenient free access to local libraries to meet his needs.* These libraries should

be part of a statewide network organized by patterns of referral developed by the State to provide both interlibrary loan and reference service. Users of any library have a right to expect access to a broad range of materials and services. The strength of library service is dependent upon adequate and comprehensive collections of materials (including films, recordings, cassettes, filmstrips, talking books, and all other media), competent staff, adequate library buildings, and effective organization of library units.

Statewide library networks constitute the most efficient means to provide quality user service. (See Appendix A for network schematic.) No one library is in a position to provide through its own resources and services all the books, media, and information that even a small or highly specialized group of users demands. It is, therefore, essential that libraries work together more effectively to meet the ever-increasing demand by every segment of our population for information. Children, students, scholars, the undereducated, members of the general public, business, industry, and government should have direct access to some library which, through its own resources or as a member library in a system or network, has the capacity to meet their needs. For the network concept to be effective, the developing communications technology and media must be fully exploited, bibliographic tools and locating devices must be developed, systems of varying types of libraries must have appropriate interface within the network, and there must be qualified manpower at the request and referral points.

In summary, *we believe the central principle for a library program for New York State should be the further development of an integrated network of libraries,* with smaller libraries drawing on larger ones, and libraries with specialized functions made accessible through organized patterns of referral. Only through such coordinated services can the people of the State have the benefits which accrue from adequate, convenient access to sources of information, education, and cultural enrichment.

PROGRAM FOR ACTION

To implement the above principles the Regents propose the following plan of action related to specific users and programs.

Library Service for Children and Young People

Preschool Through Grade Six. Committed as we are to the principles for action previously stated, the Regents examined very closely

the recommendation of the Commissioner's Committee on Library Development for regarding children's services.

The Commissioner's committee, after lengthy critical examination of the issue, and realizing the tremendous implications, presented the pioneer recommendation that the elementary school library should have the responsibility to meet all the library needs of all children, preschool through grade six, except those in health, welfare, and correctional institutions.

The Regents also recognize that school libraries are changing as are the educational programs they serve. Stimulated by the Elementary and Secondary Education Act of 1965, the growth of elementary library programs has been particularly significant. New York State is now involved in a number of pilot programs, including preschool education and educational redesign, which also will affect the role of the school library. (See Appendix B for description of the school library program.)

In addition to the points carefully outlined by the Commissioner's Committee on Library Development, the Regents refer to the 1965 user study included in *Emerging Library Systems.** The study found that over 50 percent of all public library users were students under 25 years of age. Analysis of the survey indicated that although heavy use was made of children's rooms, only a small percentage of the children of the community were frequent public library users. "In the libraries surveyed, an average of 10 percent of the children in the community visited the library during the week of the survey. . . ."†

Clearly, there was an indicated need for evaluation of service to children and students. In keeping with its emphasis on providing the means for the best service to every citizen and its belief in network services, the Commissioner's committee arrived at its unique recommendation as a possible solution.

The Regents also recognize the many problems of legal, financial, facility, staffing, and administrative import involved in the recommendation, but believe consideration and experimentation are warranted.

The Commissioner of Education will appoint a task force of appropriate personnel from public libraries, public and private schools,

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* *Emerging Library Systems: The 1963–66 Evaluation of the New York State Public Library Systems.* Albany: The University of the State of New York, The State Education Department, Division of Evaluation, 1967, pp. 121-9.

† *The User Questionnaire in a Descriptive Analysis of Selected Public Libraries in New York State.* Albany: The University of the State of New York, The State Education Department, Division of Evaluation, 1967, p. 32.

other educational agencies and the general public to design a pilot program for the purposes of appraisal of the recommendation of the Commissioner's Committee on Library Development that the elementary school library have the responsibility to meet all the library needs of all children, preschool through grade six. The pilot program should be designed to meet the library needs of the child in all aspects of his life. The Regents recommend that funding for the pilot program be provided in FY 1972–73. The pilot program should involve a number of centers, which should demonstrate a variety of service patterns, so that the strengths and weaknesses of both the school and public library service to children, singly and cooperatively, can be assessed. It is also urged that some centers be established to evaluate facets of the recommendation, e.g., preschool programming. At the end of a 3-year period of operation, a report will be submitted to the Regents and recommendations made on demonstrated ways to meet all the library needs of all children, preschool through grade six.

In addition, the Education Department is conducting a statewide survey of school library programs, since concrete information on these programs is needed to aid in the planning for and evaluation of these pilot programs. Accurate knowledge about our school library program is sadly lacking and hampers program planning for any purpose. Public library user surveys will also help evaluate the pilot program.

The public library should continue service to children until the report on the pilot program is completed and ways to meet all the library needs of all children have been assessed and demonstrated. Then such changes in function and program of the public library should be made as are in keeping with the findings of the pilot program and as may be appropriate to a given locality. Efforts should be made to assure that public library service to children, elsewhere in the State, does not diminish during the period of the pilot program.

In communities where education parks or community centers are developing with physical and/or functional integration of educational, cultural, and other services, all types of libraries should participate in order to provide a comprehensive service program to children and adults.

Secondary School Students. The Regents believe that the secondary school library has the prime responsibility of meeting the specific educational and other library needs of its students and faculty, either through its own resources or through a network. Secondary students have particular need for comprehensive information resources, which no one library can provide; therefore, public libraries and secondary school libraries must share responsibility in serving secondary school

students. To meet adequately the needs of all school students, it may be necessary to have a regional school library network with backup resources and ready access to other systems.

The Regents support the further application of the cooperative principle to the development of secondary school library service. Upon the completion of the school library survey, a school library network should be designed, and pilot projects funded, to provide a pattern of referral of requests at the regional level, and to provide cooperative services for school libraries. The design of this network should take into account the findings of the survey; the existing strengths of the Boards of Cooperative Educational Services (BOCES) and their potential for library services; and the need to fully articulate with the strengths of the public library systems and the reference and research library resources systems. Full use should be made of existing regional resources and service structures.

User Involvement in School Library Service. The Regents are convinced of the worth of the user-oriented philosophy in planning for library development in the State, and, therefore, *recommend that appropriate means be taken to involve student, faculty, and community representatives in planning elementary and secondary school library programs.*

Library Service for Higher Education and the Research Community

There are more than two hundred institutions of higher education in New York State, including the units of the State University of New York, The City University of New York, and those in the private sector. These institutions must cope with increased enrollments and greater demand for services in the face of rapidly increasing costs. The quality of library service in a university has a direct bearing on the quality of education in that institution. "The library is the heart of the university; no other single nonhuman factor is as closely related to the quality of graduate education."*

The principal responsibility of each academic library is the support of the educational objectives of the institution. The ever-widening dimensions of knowledge in all disciplines require library collections of far greater scope. With increased emphasis on independent study and on consultation of many and various sources of information, it is no longer possible to satisfy such demands through books and

* Allan M. Cartter. *An Assessment of Quality in Graduate Education.* Washington, D.C.: American Council on Education, 1966, p. 114.

journals alone. Newer media such as films, tapes, cassettes, and recordings must be acquired. The sharp advance of libraries into the newer media, coupled with the publication explosion, has rendered the individual library as a self-sufficient unit of service an impossibility. Beyond the provision of quality collections of materials, for students and faculty, the advanced researcher must have access to a system of libraries, reinforced by a statewide network, providing interlibrary loan and reference service. One of the significant recommendations of the National Advisory Commission on Libraries is to effect " cooperative arrangements that will give college students and faculty members . . . bibliographic and physical access to the resources of research libraries."* New York State has been a leader in applying the system and network concept to academic and research libraries and continues to maintain a firm commitment to such a concept. The first appropriation of State funds for this level of library service, the Reference and Research Library Resources program, was inaugurated in 1966. Nine systems dedicated to cooperation among academic, large public, and special libraries have been established.

The 3R's program involves both State and regional services. The principal State level program, the New York State Interlibrary Loan network (NYSILL), is based at the New York State Library and provides the serious user access to research materials in the major libraries of New York State. (See Appendix C for further description of the 3R's Program.)

In order to assure that the libraries of institutions of higher education are developed to meet the needs of its users, the Regents believe the planning process in each institution of higher education should involve student and faculty representatives. Conversely, the librarian should be a member of curriculum development programs as well as those for the general development of the institution. The librarian and his professional staff should have faculty status.

Academic institutions not only need strong libraries within the institution, they need also the backing of network resources and services. The growth of higher education and the increased needs of students, faculty, and independent researchers underscore the importance of the Reference and Research Library Resources (3R's) program. *The Regents reaffirm their conviction that a strong Reference and Research Library Resources (3R's) program is integral to quality library service for college students, faculty, and the research commu-*

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* Douglas M. Knight and E. Shepley Nourse, editors. *Libraries at Large: Tradition, Innovation and the National Interest.* New York: R. R. Bowker Co., 1969, p. 509.

nity. We believe the regional reference and research library systems offer the best vehicle for cooperative efforts to serve the serious library user, while at the same time maintaining the integrity of each academic or special library. These systems have developed plans and possess the potential for effective regional service programs; they have been greatly constrained by a severe shortage of operating funds.

Further, since the library needs of the research community for the identification of, location of, and access to advanced library materials cannot be met on the basis of local or regional programs alone, *the Regents affirm that State level network services must move forward as a parallel and complementary supportive program.*

Because the 3R's program in both its regional and State level aspects needs an assured realistic level of funding, *the Regents request legislation in 1971 to provide a formula of support for the 3R's program.*

Library Service for Residents of Health, Welfare, and Correctional Institutions

It is just as essential for the residents of the health, welfare, and correctional institutions of the State to have convenient access to a wide range of print and nonprint media as it is for the general public. Government has a responsibility through the rehabilitation process to help these less fortunate people become useful citizens, able to contribute to society. These people are unable to use noninstitutional libraries. It is requisite that the patients, inmates, students, and staff of these institutions of New York State and those operated by local governments and private agencies not be deprived of access to media and information sources. (See Appendix D for further description of State institution libraries.)

The Regents support the principle that library service should be integral to the rehabilitation programs for patients and inmates of health, welfare, and correctional institutions, and, therefore, recommend the establishment of a cooperative library system to provide supportive services, directly and by contract, to the libraries in institutions, those maintained by New York State as well as those operated by local government and other agencies, such cooperative library system to be eligible for State aid under a legislative formula. In addition, the State should explore the possible advantages of contracting with public library systems and school systems for service to residents of some of the institutions.

Toward this end, the Commissioner is conferring with appropriate officials in the other State departments concerned in order to assure

maximum coordination of planning and resources in the implementation of this proposal.

Library Service for Young Adults and Adults

In today's complex and rapidly changing world, an individual faces an unending series of difficult decisions which affect not only him, but also his community and the world beyond. Everyone must meet his responsibilities as a citizen. Equally important is his fulfillment as an individual. *The Regents believe that the public library has an important role to play in meeting a wide range of human needs and aspirations concerned with: communication, education, the development of personal skills and understanding, the enrichment of life, and the advancement of knowledge.* The public library is the only point of direct access to library service for more than 10 million residents of New York State, those not affiliated with an educational institution. (See Appendix E for further description of public libraries.)

Public libraries must have a commitment to reach out and actively seek to help young adults and adults to meet their civic and social responsibilities and to achieve personal goals. We recommend expanded efforts to make all people aware of the library's services. Heavy student use may have resulted, according to the report, *Emerging Library Systems,* in a lessening of the public library's impact upon the out-of-school adult. The public library, in seeking to understand and satisfy the needs of its users, will need to go far beyond the curriculum-related needs of those engaged in study in high school, college, or adult education programs. The needs of the individual as a member of the community, as a parent, as a consumer, as a worker, as an artist, to name a few, must also be met. We believe the public library's goal must be " to open opportunity for self-development for people at whatever their stage of education and culture."*

The public library in the years ahead should place increased emphasis on service to adults and young adults, both those in secondary schools and those out-of-school. Library service to secondary school students is a responsibility shared by both the secondary school library and the public library. As previously mentioned and repeated for emphasis, the public library should also continue service to children until the report on the pilot program is completed and ways to meet all the library needs of all children have been assessed and demonstrated.

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* Lowell A. Martin. *Library Response to Urban Change: A Study of the Chicago Public Library.* Chicago: American Library Association, 1969, p. 14.

The Regents reaffirm their earlier policy statement on the need for continuing education programs; recognize the important role of the public library in continuing education; and recommend that the public library be financed at a level commensurate with this opportunity.

The Regents believe in the importance of the public library as a unique community-centered institution. Increased funding should be provided to enable public libraries to extend their outreach programs, to pursue an aggressive course in library service for the disadvantaged.

Finally, *the Regents reaffirm their support of public library systems as a proved structure through which cooperative services can be planned and provided. Public library systems are a key to improved library service to young adults and adults.*

Role of the State

The responsibility of the State in the provision of library service lies in its planning, coordinating, and leadership role, as well as in its supportive function for such statewide services as interlibrary loan. The State assists in the improvement of library services through counseling, the provision of backstopping resources, and funding.

The State Library. New York State is fortunate to have, in its State Library, a strong and comprehensive research collection. Its 4 million books, pamphlets, maps, manuscripts, films, records, diaries, and other reference materials are available to officers and the staff of State government, the Education Department, and, through the libraries of the State, the people. In this latter role, it serves as the center for interlibrary loan service through the New York State Interlibrary Loan program. This supportive or backstopping role helps meet the demands for research materials not available at local or regional levels. To help fulfill its supportive role, the State Library contracts with several strong subject libraries in the State to provide this type of research material.

A study is now being made to determine an effective staffing pattern for the State Library. A good beginning has been made in the application of electronic data-processing to some aspects of the State Library's operations, including interlibrary loan, but computer applications should be broadened to include other operations such as processing of books and other materials.

Plans are now under way to relocate the library in the new South Mall complex. This move provides a unique opportunity for strengthening the services of this library at the center of the State system.

All statewide information-based programs are dependent on the effective functioning of the State Library. Financing for the State

Library must be commensurate with financing for other statewide library and information programs. In recognition of the critical role of the State Library as the focal point in the statewide network, *the Regents recommend an increased library materials budget, a stronger staffing pattern, the continued development of computer applications to its operations, and funds to effectively plan and execute the move to the South Mall complex.*

Development Services. The Regents recognize the importance of a strong field staff to provide leadership in the development of local and regional library services and system programs and the administration of State and Federal grant-in-aid programs. The staff and services of the Bureau of School Libraries, under the Assistant Commissioner for Instructional Services, and the Division of Library Development (including the Bureau of Public Library Services and the Bureau of Academic and Research Libraries), under the Assistant Commissioner for Libraries, are critical to the effective coordination of statewide library development.

Evaluation and Research

The Regents recognize the desirability and need for a comprehensive and objective review of library programs on a statewide basis at least once in every 5-year period, if the planning responsibility of the State is to be effective. A study of priorities should also be included in such a review. *The statistical and research role of the State with respect to libraries should be strengthened.*

Regents Advisory Council on Libraries

In recogniiton of the increasingly important role of the Regents Advisory Council on Libraries, the council should be organized so that ad hoc task forces involving wide participation from noncouncil members would be activated. These ad hoc task forces could be involved in such critical program areas as 1) library planning in support of higher education, 2) the development of school library services, 3) pilot programs of service to children, 4) the Reference and Research Library Resources program, 5) public library services, 6) institutional library service, and 7) library buildings. Appointments to the ad hoc task forces are to be made by the Commissioner of Education.

In order to implement the recommendation of the Commissioner's Committee on Library Development that the Regents Advisory Coun-

cil on Libraries be strengthened and made as representative as possible of the varied interests of the profession, the Commissioner will seek nominations from the field for membership on the council and a limit will be placed on the terms of office of its members.

FINANCE

We recommend funding by the State for library services be directed to the following priorities:

1. *the development of cooperative networks and systems,* including provision for adequate resources and services in those key libraries which provide regional services;
2. *research, evaluation, experimentation, and demonstration* in innovative and effective library service patterns and programs;
3. *library education and manpower development;* and
4. *library building construction.*

Cooperative Networks and Systems

The Reference and Research Library Resources (3R's) Program. In order to provide improved reader access to research library networks and services, we recommend that State aid be provided for the Reference and Research Library Resources program on a regular and predictable basis, according to a legislative formula* based on the number of professional persons in the State and the number of students enrolled in institutions of higher education.

From this formula, an apportionment should be made to the State Education Department for the operation of State-level programs on behalf of research library service, such as the New York State Interlibrary Loan program (NYSILL); delivery and communication systems; the development of bibliographic tools including the State union list of serials; statewide use of and development of specialized collections; and other statewide research library activities.

Further, an apportionment should be made to the nine regional Reference and Research Library Resources systems for the operation of programs and services at the regional level, including staff, regional bibliographic services, and regional delivery and communications systems.

We recommend legislation to be enacted in 1971 which will provide formula support for the 3R's program to be phased in over a 2-year

* For the recommended formula for the 3R's program, see Appendix F.

period, 75 percent of entitlement the first year and 100 percent the second year. The estimated cost for FY 1971–72 will be $10 million and for FY 1972–73 will be $14 million.

Library Program for Residents of Health, Welfare, and Correctional Institutions. In order that a cooperative program can be developed to assure educational opportunities for residents of institutions by reason of behavioral or health problems, mental illness, or other severe handicaps, we recommend that a cooperative institutional library system be established and that State aid be provided for the support of this system. The cooperative institutional library system would be composed of libraries serving health, mental health, special education, welfare, narcotic addiction, and correctional institutions substantially supported by public funds.

We recommend that a legislative formula* based on the number of persons in such institutions should be enacted in 1971 in support of the proposed cooperative institutional library system. The estimated cost of the program in the first year would be $75,000 and in the second year $460,000, rising to $4,500,000 in the fifth year.

The Public Library System Program. In order to assure the continued development of the public library systems of the State and the further improvement of the central libraries, in the face of rising costs and the needs for library services, *we recommend that the existing State aid program for public library systems be modified and supplemented.*†

We recommend that in 1971 legislation be enacted which would increase the present formula for State aid to public library systems, the central libraries, and The Research Libraries of The New York Public Library from $15½ million to an estimated $21 million.

Further, we recommend over the next 5 years, the system formula should be amended again and increased on a phased-in basis so as to yield an estimated $45 million. New formula factors should be considered in such upward revision including equalization aid, an incentive factor to encourage county support, an incentive factor to encourage the consolidation of small libraries, and the need for intersystem projects such as the Association of New York Libraries for Technical Services (ANYLTS).

As the adequacy of aid for system services and central libraries improves, State aid also should become available for shared funding

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* For the recommended formula for the institutional library programs, see Appendix F.

† For the recommended formula for the public library system program, see Appendix F.

by the State of local library service, where such local libraries meet standards of service and local effort. Because of the diminishing ability of the property tax to provide adequate revenue for local governmental services, and because of the State's responsibility for providing educational opportunities for all, the State should assume a responsibility for the finance, not only of the public library systems and central libraries, but also for a proportion of the cost of local public library services, roughly similar to its share in the cost of public education — approximately 50 percent. Such support of those local public libraries, which meet standards set by the Commissioner of Education, would be in addition to the estimated $45 million needed for the systems and central libraries. The support formula for local library service should be phased in over several years, beginning in FY 1973. In the development of this proposed formula of shared support for local public library service, first attention should be given to those key libraries which serve, or have the potential to serve, readers from a wide area, in order to provide reasonable compensation to such libraries for heavy out-of-district use.

School districts and public community colleges which extend their library services to users who are not part of the regular student body should be reimbursed by the State according to a formula taking into account the costs incurred and the additional users served.

Regional School Library Programs. No formula or level of support is now recommended for regional school library programs, pending the findings of the previously mentioned survey and pilot network studies. Such studies, it is expected, should assess the desirability of mandating that public school district budgets include a minimum allocation for school library media resources, based on a certain percentage of per pupil instructional cost. The studies should also make recommendations on the level of funding needed for broad based library services (e.g., through BOCES), in excess of the regular amounts appropriated for school library services for the districts involved.

It is also expected that the studies will include a recommendation for interface between the components of the statewide network, involving all types of libraries.

The State Library. The State Library is integral to the statewide library and information network. We affirm the need for the State to provide staff and resources for the State Library to enable it to carry out its key role in serving government, as a regional library for the blind and physically handicapped, as a backstopping agency, and as a central link in the State's network.

Research, Evaluation, Experimentation, and Demonstration

Because of the importance of research, evaluation, and experimentation in developing library programs adequate to the needs of our changing society, we urge strengthened support of library research. We believe funds are needed on a continuing basis for a comprehensive research and evaluation program on library matters. Funding is needed for studies and projects in such areas as: the application of electronic and photographic technology to libraries; exploration of the concept of a statewide materials evaluation center and a network of demonstration centers; user and nonuser studies; interlibrary loan; networks evaluation; intersystem projects; manpower studies; development of measures to assess the extent to which program objectives are achieved; library finance; enriched programs of service to the educationally and culturally deprived; and expansion of and experimentation with programs using nonbook media.

In the field of research and demonstration, we believe the greatest need is for pilot programs, as previously described, in service to children pre-school through grade six. Funds for such pilot programs will be requested in FY 1972–73.

Secondly, there is a need for a pilot program in intermediate public library service. There are now areas of the State where residents are more than 30 minutes by car and public transportation from a general library with a collection of at least 35,000 volumes and accompanying resources and services. The Regents believe that, insofar as geographical and demographic conditions in the State make feasible, every resident should have access to libraries of such strength, libraries which may be characterized as intermediate in size between a very small local library and more distant large central libraries. The funds for a pilot program in intermediate library service (such program to build on the strengths of existing libraries, and/or consolidation of existing libraries) should be included in revisions of the State aid for public library system law in FY 1972–73.

Thirdly, there is a need for funding for experimental projects which demonstrate cooperative services between or among two or more types of libraries and two or more types of library systems. Funds for such interlibrary developmental projects will be sought in succeeding years.

Library Education and Manpower Development

The Regents are cognizant that there must be an adequate and well-trained supply of librarians to support the highest standards of library service for all kinds of libraries and to develop the proposed coopera-

tive network programs. Depending on current developments in the supply and demand of librarians, the Regents may propose scholarship or fellowship programs at the master's and doctor's level for qualified candidates preparing for service in all types of libraries. Further, the Regents will give consideration to recommending such special subsidies for graduate training programs for librarianship and for programs of continuing education for graduate librarians, as may be needed.

Library Building Construction

Since libraries cannot provide the expanded resource collections and modern service programs needed to support current educational and social goals in buildings constructed in the days of Andrew Carnegie, and since network programs are contingent on regional service center facilities usually beyond the financial reach of a single locality, we recommend consideration of State aid for library construction as follows:

— Review and modification of existing policies governing the State-aided maximum size of libraries in elementary and secondary schools. The review should recognize that larger facilities are necessary to provide for the expanding role of school libraries and the development of school library systems.
— State aid should encourage necessary capital improvements in institutions willing to enter into long-term contracts committing them to provide services beyond their normal constituencies when these services further State policies and objectives.
— State aid for public library construction and the construction of public library system and reference and research library system headquarters buildings should cover at least one-third of the cost of local library buildings and at least one-half of the cost of regional library system headquarters buildings, where such libraries meet standards of service acceptable to the Commissioner of Education. The State should participate in the funding of those library buildings which will assist in the achievement of system goals. The Regents will recommend construction aid for public libraries and library systems in a later year.

Finance Study

The Regents, noting the recommendation of the Commissioner's Committee on Library Development that the concept of full State

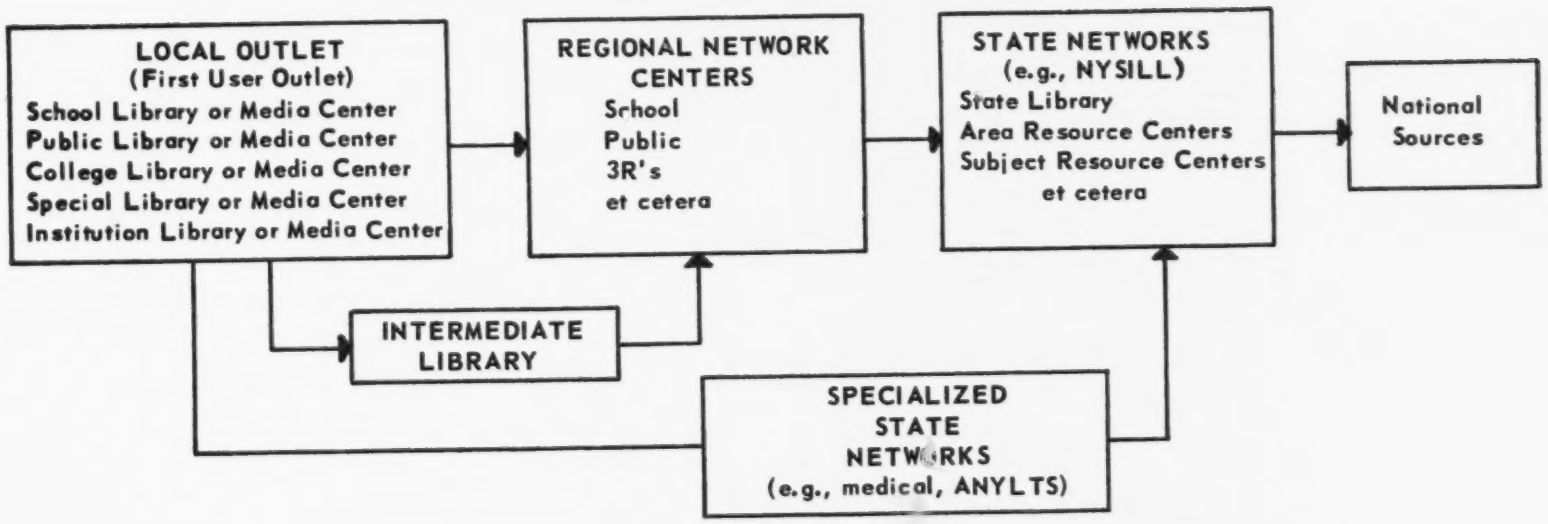
support for public library service should be explored, will in a future year study the State's fair share in public library support, including conditions of such aid.

CONCLUSION

The library program herein presented has one common theme: user needs can be met only as local libraries are strengthened, as regional systems are more fully developed, and as a statewide network of libraries is achieved. A partnership of institutions and of levels of government is needed. In this partnership, the State must assume a larger share of the finance of library service and a more active role in the marshaling of the leadership and resources needed.

APPENDIX A

REFERENCE AND INTERLIBRARY LOAN NETWORK (FOR INFORMATION RETRIEVAL AND TRANSFER)



The above chart suggests how requests might flow in a statewide program of reference and interlibrary loan networks serving the information retrieval and transfer function.

Report of the Commissioner of Education's Committee on Library Development. Albany: The University of the State of New York, The State Education Department, 1970, p. 10.

APPENDIX B

School Libraries

School libraries, like the institutions they serve, have changed significantly since World War II. The stimulation of more comprehensive resource collections — print and nonprint — and elementary school libraries can be directly related to the effects of Federal aid programs initiated in 1958 and 1965. Despite this stimulation, although no reliable data are available, it was estimated in 1969 that 17 percent of the State's elementary schools lack libraries.

As presently constituted, school libraries are designed to serve both the curriculum-related and recreational library needs of elementary and secondary school students and, to a limited extent, the professional needs of teachers. State regulations require that each high school establish and maintain a school library. At present, there is no State requirement for elementary libraries.

Changing educational trends, such as individualized instruction and flexible scheduling, and national standards for library media programs have created a marked trend to enlarge the scope of school libraries to include audiovisual as well as the traditional print resources.

School libraries are financed from the general budget for the entire school program. Since there are no State requirements for maintaining the school library, the level and quality of the school library program are controlled by the school administration, either at the building or district level. At present, although the State requires that a minimum amount of space be provided for library purposes in new school construction, there is no followup requirement that makes it necessary to use, for library purposes, the space so planned. Also, at the secondary level there is a school library space limitation, with any excess being ineligible to earn State building aid.

An increasing number of larger school districts are providing a supervisor of library media services to coordinate the program for the entire school system, an arrangement which is very similar to that of library systems in other situations. In recent years, in addition to district level development, cooperative services have been planned on a multidistrict basis in some areas. Some Boards of Cooperative Educational Services are also outlets for multidistrict library services. To some minor extent, school libraries have been able to take advantage of public library systems service through the local public library.

Also, Federal aid has stimulated the development of some regional cataloging and processing centers and other cooperative services at the regional level.

The lack of adequate library programs in the nonpublic schools of the State is even more critical than in the public schools, although there are some outstanding exceptions. In addition, because of constitutional prohibitions, nonpublic schools have not been able to participate fully in State and Federal aid programs.

School library development in New York State has been hampered by a lack of statewide data. The increased attention which school library matters currently are receiving at the State level should begin to remedy this situation, as well as helping to raise the general performance level of school libraries throughout the State. The completion of the detailed school libraries study begun in the spring of 1970 would be of great value in supplying much-needed information and is essential to planning and further progress in school library development.

APPENDIX C

The Reference and Research Library Resources Program

The Reference and Research Library Resources (3R's) program is a statewide program designed to meet the needs of the serious library user. The 3R's program is based on recommendations made in the 1961 *Report of the Commissioner's Committee on Reference and Research Library Resources.* James E. Allen, Jr., then Commissioner of Education, appointed this committee representing higher education, business and industry, and libraries, in 1960 to study the problems, current demands, and future research needs of libraries in New York State. The decade of the 1950's had witnessed educational changes and a vast increase of publications which made self-sufficiency and attempted comprehensiveness an impossibility for libraries. The underlying principle of the 3R's program is to build on existing strength, for New York State is rich in library resources. The concept of total library service has been stressed; that is, college, university, public, and special libraries must join forces in order to meet the demands and needs of the academic and research communities. The Reference and Research Library Resources program was organized on two levels, State and regional; each featuring programs of flexibility and making use of the new technology, where feasible, to extend access to research library materials.

The initial funding of the 3R's program was secured in 1966, following the First Governor's Conference on Libraries in 1965.

Major State level programs have included an experiment in facsimile transmission, the development of *The New York State Union List of Serials,* initiation of computer applications to the New York State Library, the formation of an academic and research library Bureau within the Division of Library Development, and the establishment of the New York State Interlibrary Loan network (NYSILL). NYSILL, now in its fourth year of operation, is designed to make available, on a systematic basis from 12 designated research libraries, materials which are not available from local libraries, from the public library systems, or from the New York State Library. The resource libraries are compensated according to the volume of services they render, according to the terms of a contract with the State Library.

At the regional level, nine reference and research library resources systems have been organized, covering the entire State. Each system

has an elected board of trustees, and membership includes public and private colleges and universities, special research libraries, and public library systems. The regional systems have strengthened areawide research library services through cooperative planning, delivery services, the compilation of regional union lists of serials, improved communications, and the establishment of bibliographic clearing centers. As of June 30, 1970, 160 colleges and universities in the State are members of the 3R's systems. Because of very limited funding, these systems have as yet been unable to fully implement their planned cooperative programs.

APPENDIX D

State Institution Libraries

Seven State agencies or departments have jurisdiction over 124 institutions in which approximately 200,000 people are confined for reasons of health, mental health, delinquency, crime, and narcotic addiction. Although at present several of the State departments are attempting to provide some degree of library service in their institutions (usually the larger ones), none of the State institutions is able to provide individually the degree of service and material needed to contribute effectively to a rehabilitation program.

In 1963, the Interdepartmental Health and Hospital Council authorized the establishment of a Committee on Library Services in State institutions. This committee was charged to determine what library services and resources were presently available within the institutions or elsewhere and what were the needs of the institution users. In 1965, " A Plan to Provide Library Service to People in New York State Institutions " was approved by the Interdepartmental Health and Hospital Council and released. The plan estimated future needs and formulated specific recommendations for each State department to implement. To date, in spite of the effort of several State departments, few of the recommendations have been achieved.

The plan called for an expenditure of $25 per capita for library purposes to achieve minimal library service in 1965. Three years later, 1967–68, and even with rising costs for materials and personnel, the institutions averaged $2.50 per capita for library service. Statewide, this is an annual deficiency of $4.5 million. Residents in New York State institutions fall far behind those in a number of other states, such as Washington, in relation to library service.

Treatment, rehabilitation, and education (academic, vocational, social, religious, cultural) are prime objectives in practically all institutions, but goals are far from being achieved. In the delinquency and crime treatment institutions, the recidivism rate continues to mount; in the mental health hospitals, patients are released to their families or communities more quickly, but the rate of intake continues to increase. All treatment and education staff continue to be hampered in their work by staff shortage and by insufficient materials and budget to work most effectively. While there are many areas of institutional work which need improvement, it should be made clear that library services are integral to the total educational and rehabilitation effort.

APPENDIX E

Public Libraries

Seven hundred independent public libraries in New York State serve, for all practical purposes, the entire population of the State. Of these, 684 make up the membership of 22 public library systems. The public libraries not only provide free use of their local resources, which may be limited, but they also offer through the structure of systems and networks legal access to an enormous wealth of library resources throughout the State.

The public libraries, each of which is autonomous and derives its main support from a municipality, county, school district, or a combination of these units, in 1969 spent approximately $71 million from local public sources. An additional $13.7 million of State aid went to the public library systems, where it was used largely for the operation of system services.

Prior to 1967, other major studies had been undertaken, specifically about public libraries and the public library system concept. The reports were instrumental in achieving legislation in support of public library systems, making New York State a forerunner in the field.

In 1947, the State Education Department, Division of Research, issued *A State Plan for Library Development: Proposals for Improving Public Library Service in the State of New York.* On recommendation of the Governor, the Legislature of 1948 appropriated funds for an experimental multicounty library system with headquarters in Watertown, the Regional Library Service Center. This was followed in 1949 by another Division of Research paper, *Development of Library Services in New York State.*

In 1950, *Library Service for All: Report of the Governor's Committee on Library Aid* achieved legislation providing for the establishment of consolidated and federated library systems partially supported with State aid.

The *Report of the Commissioner of Education's Committee on Public Library Service, 1957* expanded the system concept by recommending cooperative library systems where needed. This was enacted into law in the legislation of 1958 along with expanded State aid for the support of all types of public library systems.

In 1966, the State Education Department, Division of Evaluation, completed a study of the public library systems with some recom-

mendations for improvements. The resulting report, *Emerging Library Systems: The 1963–66 Evaluation of the New York State Public Library Systems,* published in 1967, showed the need for further strengthening of the systems' central libraries. The legislature made a beginning on increased aid for central libraries and systems in 1966, but no further changes have been made in the formula for State aid to public library systems since then.

APPENDIX F

RECOMMENDED LEGISLATIVE FINANCE FORMULAS

I. *Reference and Research Library Resources (3R's) Program*

A. An apportionment to the State Education Department for grants, contracts, and general costs of operating programs and services which are part of the 3R's program; e.g., networks such as NYSILL, delivery and communications systems, bibliographic tools, research collection development, statewide use of specialized collections, and other statewide research library activities.

1. An annual grant of $5 for each professional person residing in the State.
2. An annual grant of $5 for each full-time student enrolled in chartered institutions of higher education which are also members of a 3R's system.
3. An annual grant of $2.50 for each part-time student enrolled in chartered institutions of higher education which are also members of a 3R's system.

B. An apportionment to the nine regional reference and research library resources systems for the operation of programs and services at the regional level; e.g., headquarters staff, regional bibliographic aids, regional delivery and communication systems, and other cooperative services.

1. An annual grant of $1.25 for each professional person residing in the system area.
2. An annual grant of $7.50 for each full-time student enrolled in chartered institutions of higher education which are located within the region and which are also members of the system.
3. An annual grant of $3.75 for each part-time student enrolled in chartered institutions of higher education which are located within the region and which are also members of the system.
4. No system approved under this program should receive less than $250,000 annually when the formula is fully operable, regardless of other formula provisions.

C. Application of the formula should be phased in over a 2-year period; 75 percent of entitlement the first year and 100 percent the second year.

II. *Library Program for Residents of Health, Welfare, and Correctional Institutions*

State aid should be provided for the proposed cooperative library system to serve residents of health, welfare, and correctional institutions, according to the following formula:

A. An apportionment to the system for staff, materials, and other costs of services to the libraries in institutions

1. A nonrecurring establishment grant of $75,000.
2. A basic annual grant of $150,000, to begin at the second year of operation.
3. Annual per resident grants, to begin at the second year of operation.
   a. $1 per resident of institutions which are voting members of the system and meet minimum standards for library service established by the Commissioner of Education.
   b. $40 per resident of State, municipal, or other institutions which receive substantial public funds and meet standards set by the Commissioner of Education but are too small for voting membership in the system — that is, less than 150 persons. (Funds earned by this factor of the formula are to be used by the system for contracted services from public library systems, larger institutional libraries, special libraries, and so forth.)
4. An annual matching grant equal to 20 percent of the amount spent, over $1 and up to $20 per resident, by the member institutions for library services (excluding capital expenditures and Federal funds).

B. An apportionment to approved member institutions in the system, according to the following formula:

1. An annual matching grant equal to 80 percent of the amount spent, over $1 and up to $20 per resident, by the member institutions for library services (excluding capital expenditures and Federal funds).

2. An annual grant of specialized books and journals, not to exceed a total of 16,000 volumes annually, to those libraries designated by the system as having the greatest capacity to serve institutional research needs in the areas of crime control, correction, mental health, mental retardation, health, and welfare.

(The formula for State aid for library services to the residents of health, welfare, and correctional institutions throughout the State is based on a standard of $40 per resident per year. It is expected that half of the cost will be borne by the State or other departments of government which operate the institutions, and the remaining half will derive from the foregoing formula. It is estimated that the cost of the formula would be approximately $75,000 the first year, $460,000 the second, and that it would reach a maximum of $5,200,000 in approximately 10 years.)

III. *The Public Library System Program*

State aid should be continued for the public library systems program according to the provisions of Education Law 272–273, modified and supplemented as follows, (over the next 5 years):

A. Present factors in the formula

1. Annual per county grant. (Education Law 273:2a). No change.
2. Per capita factor. (Education Law 273:2b). Increase to 60¢.
3. Book reimbursal factor. (Education Law 273:2c). Increase to 50¢ per capita; no change in 40¢ base.
4. Square miles factor. (Education Law 273:2d). Increase to $48 per square mile, regardless of number of counties.
5. The research Libraries of The New York Public Library. (Education Law 273:2e). For statewide use of The Research Libraries, increase to at least $1½ million.
6. Central Library Development Aid. (Education Law 273:2f). Increase to 15¢ per capita; increase minimum to $45,000.

B. New formula factors

1. An equalization factor to apply to local library support, based on valid indexes of ability to pay.

2. An incentive factor to encourage tax support of systems or member public libraries by subdivisions of local government of 25,000 population or more or by counties.
3. An incentive factor to encourage consolidation of small libraries serving under 50,000 population; the employment of properly trained personnel to be related to this factor.
4. A matching grant for audiovisual materials and related equipment for either the central library or system headquarters, whichever is the base for the present audiovisual collection.
5. A sum equal to 10 percent of State aid, computed under Education Law 272–273 including the amendments proposed above, to be available to the Division of Library Development for public library intersystem projects (e.g., the initial development of ANYLTS).
6. Intermediate library development aid.